

# **Rules and Regulations Governing the Doctoral degree program at the Maastricht School of Management**

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Version 3.0  
January 2007

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## **Rules and Regulations Governing the Doctoral degree program at the Maastricht School of Management**

The courses of the Maastricht School of Management are administered under standardized conditions throughout the world. Particular counterpart organizations may impose additional rules; should any such rules conflict with this document, then the rules in this document prevail.

### **1 General Description of the Program**

#### **1.1 Introduction**

- a. The Maastricht School of Management prepares and conducts a program that leads to the degree of Doctor of Business Administration (DBA).
- b. The DBA program is to be understood as equivalent to a Doctor of Business Administration (DBA) degree in the Anglo-American tradition of higher education.
- c. The DBA program can be organized by the Maastricht School of Management at its Maastricht campus or delivered in collaboration with a local partner institution (counterpart organization). In the latter case the administration of the program is the joint responsibility of the Maastricht School of Management and the counterpart organization.
- d. The Maastricht School of Management cooperates with universities, which leads to the degree of Doctor of Philosophy (PhD). These Rules and Regulations are subordinate to the Rules for the Promotion of a cooperating university where the participant might take the promotion.
- e. The official language of the program is English.
- f. The doctoral degree program consists of four parts: The Master of Philosophy (MPhil) phase which includes the coursework and the research proposal seminar, the period of field research, the period of data analysis and the period of writing and defending the dissertation.
- g. A doctoral degree program is deemed to commence on the first day any participant starts in a module of the doctoral coursework.
- h. The DBA degree program can be undertaken on a full-time or part-time basis.

#### **1.2 Duration of the Doctoral degree program**

- a. Enrolment in the doctoral degree program is for a normal period of four years starting from the day mentioned in 1.1g.
- b. An extended program may not exceed six years starting from the day mentioned in 1.1g.
- c. The following procedure will be observed in the case of extension after four years:
  1. All requests for extension of the registration period in the doctoral degree program will be submitted to the Director of Research and Doctoral Programs and should be accompanied by the recommendation of the Supervisor.
  2. A request for such an extension shall be submitted at least six months before the extension is proposed to begin.
  3. Extensions of registration in the doctoral degree program may be granted for a maximum of one year at any one time, while the cumulative maximum shall in not exceed two years.
- d. For each (part of a) year of extension of the registration, an additional fee is charged.



### 1.3 Journal Publications

- a. The participant is expected to publish in scientific journals. International publications will include articles in English, published in a journal that is listed on the latest version of the *Journal Quality List*<sup>1</sup>. The publication can be together with one or more co-authors on the condition that the participant's contribution is considered sufficiently substantial.
- b. A set of minimally three journals articles (comprising at least one B publication, and at least one C publication, and a third one (under review or submitted) for at least a C publication) are expected before the completion of the DBA degree. Please discuss thoroughly with your supervisor and the Director of Research and Doctoral Programs whether the journals you are planning to publish in, meet the requirements. The doctoral candidate has to be the first author of at least two of them. At the time of the public defense of the dissertation the participant has already published or has the acceptance letter of the journal for one article. The second article has to be submitted. The third article can be work in progress.

## 2 Parties involved in the Doctoral degree program

### 2.1 Board of Doctoral Degree Studies

- a. The Board of Doctoral Degree Studies serves as a supervisory board for the doctoral degree program of the Maastricht School of Management.
- b. The Board of Doctoral Degree Studies shall be composed of a Chairperson and at least five members appointed on the advice of its current members.
- c. The Chairperson of the Board of Doctoral Degree Studies is chosen among its members.
- d. Functions of the Board of Doctoral Degree Studies:
  1. To set the Rules and Regulations for the doctoral degree program.
  2. To approve the annual report of the Doctoral Programs department on its activities for the doctoral degree program.
  3. To ratify all policy decisions concerning Doctoral Programs.

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<sup>1</sup> Dr. Anne-Wil Harzing (ed.), *The Journal Quality List*. For more information see [www.harzing.com](http://www.harzing.com).



## 2.2 Research Committee

- a. In the exercise of functions delegated to the Dean by the Board of Doctoral Degree Studies, the former shall appoint a Research Committee.
- b. The Research Committee shall be composed of a Chairperson and at least two members appointed by the Dean on the advice of the Director of Research and Doctoral Programs.
- c. The Chairperson of the Research Committee shall be the Director of Research and Doctoral Programs.
- d. All policy decisions made in the Research Committee pertaining to Doctoral Programs shall in principle be subject to ratification by the Board of Doctoral Degree Studies.
- e. Functions of the Research Committee:
  1. The Director of Research and Doctoral Programs is in charge of the process for enrollment in the doctoral degree program.
  2. The Research Committee shall advise the Director of Research and Doctoral Programs on the assignment of Supervisors, Readers, and external evaluators.
  3. The Research Committee shall give an annual report to the Board of Doctoral Degree Studies and to the Dean of the School on its activities.
- f. The Research Committee shall delegate part of its functions to its members or other staff of the Maastricht School of Management in accordance with what is stated in the Rules and Regulations.

## 2.3 Exam Committee

In the exercise of functions delegated to the Dean by the Board of Doctoral Degree Studies, the former shall appoint an Examination Committee.

The Examination Committee shall be composed of a Chairperson and at least two members appointed by the Dean.

All decisions made in the Examination Committee pertaining to Doctoral Programs shall in principle be independent to ratification by any individual or body within the Maastricht School of Management. The decision of the Examination Committee can be appealed to the Board of Doctoral Degree Studies.

Functions of the Examination Committee:

1. The Examination Committee is charged with settlement of disputes with regards to oral and written exams (presentations, written assignments, research papers, the dissertation etc.) submitted in partial completion of the requirements for obtaining the doctoral degree.
2. The Examination Committee shall give an annual report to the Board of Doctoral Degree Studies on its activities.

## 2.4 Curriculum Committee

- a. In the exercise of functions delegated to the Dean by the Board of Doctoral Degree Studies, the former shall appoint a Curriculum Committee.
- b. The Curriculum Committee shall be composed of a Chairperson and at least two members appointed by the Dean.
- c. All decisions made in the Curriculum Committee shall in principle be subject to ratification by the Board of Doctoral Degree Studies.
- d. Functions of the Curriculum Committee:
  1. The Curriculum Committee is involved in all curriculum development, evaluation and revision of the curriculum of currently running programs.
  2. The Curriculum Committee shall give an annual report to the Board of Doctoral Degree Studies on its activities.



## 2.5 Supervisors

### 2.5.1 Appointment of the Supervisor

- a. During the coursework period, the participant works on improving his/her preliminary research proposal up to standard under the guidance of the tutors teaching these courses (e.g. through feedback on the assignments). Usually, after having passed the first two courses, the Director of Research and Doctoral Programs will appoint a Supervisor.
- b. The Supervisor has a DBA/PhD degree.
- c. Participants are encouraged to make suggestions about the appointment of their Supervisor to the Director of Research and Doctoral Programs.

### 2.5.2 Tasks of the Supervisor

- a. To advise the participant on the formulation of the research proposal, the dissertation outline, elaboration of the research design, and on the subsequent preparation of the final version of the dissertation.
- b. To report every three months to the Director of Research and Doctoral Programs on the progress and performance of the participant.
- c. To participate in the research proposal seminar and the public defense, given by the participant.
- d. To assess the dissertation outline and related research design and to submit this assessment to the Director of Research and Doctoral Programs.
- e. To indicate to the Director of Research and Doctoral Programs his or her approval of the dissertation manuscript in its final (unedited) form, in mutual agreement.
- f. To function as a member of the dissertation defense committee, that will assess the final version of the dissertation.
- g. To abide to the "Guide for doctoral supervisors at the Maastricht School of Management".

## 2.6 Reader

### 2.6.1 Appointment of the Reader

- a. After the Supervisor has given his/her formal approval stating that the participant is ready to defend the research proposal/dissertation, and the participant has submitted the final version of the research proposal/dissertation to the Doctoral Programs department, the Director of Research and Doctoral Programs will assign a Reader on recommendation of the Supervisor.
- b. For the MPhil defense the Reader has a DBA/PhD degree. The Reader's expertise falls within the scope of the participant's dissertation subject, or is adjacent to it.
- c. For the DBA defense the Reader is a member of the academic staff of the Maastricht School of Management or one of its counterpart organizations and has a DBA/PhD degree. The Reader's expertise falls within the scope of the participant's dissertation subject, or is adjacent to it.

### 2.6.2 Tasks of the Reader

- a. To advise the Director of Research and Doctoral Programs on the quality of the research proposal or dissertation. This assessment is meant to check whether the work done by the participant meets the current academic standards as used in contemporary research. The outcomes of this assessment shall be given to the Director of Research and Doctoral Programs in writing.
- b. To participate in the research proposal seminar or public defense of the dissertation given by the participant.



## 2.7 External Evaluator

### 2.7.1 Appointment of the External Evaluator

- a. After the participant has submitted the final version of the dissertation, the Director of Research and Doctoral Programs will assign two External Evaluators on recommendation of the Supervisor.
- b. The External Evaluator is not a member of the academic staff of the Maastricht School of Management, holding a doctorate and at least an academic position as Associate Professor or equivalent. One of the External Evaluator's expertise falls (partially) within the scope of the participant's dissertation subject or is adjacent to it, the other External Evaluator is an expert on research methodology as used in the candidate's dissertation.

### 2.7.2 Tasks of the External Evaluator

- a. To advise the Director of Research and Doctoral Programs on the quality of the dissertation. This assessment is meant to check whether the work done by the participant meets the current academic standards as used in contemporary research. The outcomes of this assessment shall be given to the Director of Research and Doctoral Programs in writing.
- b. To participate in the research proposal seminar or public defense of the dissertation given by the participant.

## 3 Admission to the Program

### 3.1 Admission Requirements

Requirements for admission to the MPhil phase of the doctoral degree program:

- a. Candidates must hold at least a Master's Degree or its academic equivalent from a recognized university. The Director of Research and Doctoral Programs will decide about the equivalence of degrees.
- b. Candidates should have at least three years of business experience as a manager before they can be admitted to the program.
- c. Candidates, whose previous education has been in a language other than English, must submit evidence of proficiency in the English language. A score of at least 600 on the paper based TOEFL (Test of English as a Foreign Language) or 250 on the computer based TOEFL or an equivalent score on an approved alternative test is adequate.
- d. Candidates submit a preliminary research proposal (in digital form) to the Director of Research and Doctoral Programs, of a maximum of 1500 words, which indicates:
  1. The objective(s) of the research;
  2. The positioning of the research within a particular area of theoretical debate;
  3. The relevance of the research;
  4. The hypotheses/ideas guiding the planned research activities;
  5. The methodology to be used and the approximate time required for secondary and/or primary data collection.
  6. The qualifications of the applicant, to prove their suitability for the program.

The topic of the preliminary research proposal must normally fall within one of the research themes current at the Maastricht School of Management.

- e. A GMAT (Graduate Management Admission Test) score of at least 600 is a desirable prerequisite for enrollment.



### 3.2 Admission Procedure to the MPhil phase of the doctoral degree program:

- a. The Committee will examine the evidence mentioned in 3.1. If the Doctoral Programs Department is not fully satisfied it may arrange an examination or an interview, or may use any other means it deems necessary to reach a conclusion concerning the applicant's qualifications for conditional admission or denial of admission to the doctoral degree program.
- b. The Director of Research and Doctoral Programs will ask the advice from an academic staff member knowledgeable in the field of the proposal on the feasibility of the preliminary research proposal. On the basis of the evidence provided, the Director of Research and Doctoral Programs will form a judgment on the preliminary research proposal. In case the preliminary research proposal does not attach to the research themes current at the Maastricht School of Management admission will be denied. However, if the Director of Research and Doctoral Programs is willing to admit the candidate for certain reasons, it will present an argued proposal to the Chairperson of the Board of Doctoral Degree Studies. The Director of Research and Doctoral Programs will include in their judgment as to whether the applicant has the ability to put into operation the submitted research proposal. The Board of Doctoral Degree Studies has to ratify the decision taken by its Chairperson.
- c. As soon as the Director of Research and Doctoral Programs has decided on the candidate's suitability for participation, the applicant will be informed through the Admissions Office about the admission to the MPhil phase of the doctoral degree program.
- d. Admission to the MPhil phase of the doctoral degree program remains valid any time in the twelve months following the selection.
- e. In case of an application to a doctoral degree program conducted in collaboration with a counterpart organization, the Director of Research and Doctoral Programs has the responsibility and authority over the admission of the participants. Any subsequent administrative arrangement related to the program (including supervision, field research, defense and promotion) shall be initiated and taken care of through and by the office of the Doctoral Programs Department.

## 4 MPhil Phase

### 4.1 Coursework

- a. The common coursework for every doctoral participant shall be in the fields of Economics, Behavioral Sciences, Quantitative Methods and Research Methods. Each field shall demand at least 36 contact hours.
- b. The Director of Research and Doctoral Programs may require individual coursework in addition to the common coursework of the doctoral degree program. Such individual coursework, for example, may be necessary where the entering doctoral participant lacks the general business knowledge background normally obtainable in a typical MBA degree foundation segment courses, covering subjects like accounting, economics, finance, marketing, organizational behavior and statistics.
- c. In the case of individual coursework, the Director of Research and Doctoral Programs shall decide upon the nature of the required coursework in consultation with the Supervisor.
- d. The Curriculum Committee will formally approve the curriculum of all coursework within the doctoral degree program and subsequent research activities.
- e. Doctoral participants shall be encouraged to take advantage of opportunities which may be offered to develop other useful skills for their careers like in the areas of computing, foreign languages, teaching and case writing in as much as such self-developmental activities may not be part of the formal doctoral degree program.



- f. Participants, during their stay in Maastricht, are encouraged to participate in all seminars organized in the doctoral degree program, and in the School in general.

#### 4.2 Coursework Assessment

- a. Each field of the coursework is completed by a written assignment.
- b. Each participant must complete the full requirements for every subject taken. The deadline for submitting the work assigned in each written assignment is three months after the completion of the coursework module. If a participant does not submit on time, the examiners may deem him or her to have failed the subject on those grounds alone, unless an exception was granted in writing by the Exam Committee. Work turned in late without justification will receive a mark of zero, and the module has to be taken again (with additional payment of 25% of the tuition fee due for the first year of the doctoral degree program).
- c. Written assignments have to be submitted to the lecturer and the Doctoral Programs Department before 5:00 PM on the due day.
- d. Written assignments have to be submitted in digital form.
- e. Circumstances that justify failure to submit written assignments on time may include absence through illness, accidents or serious domestic emergencies, which should be reported in writing to the Exam Committee within one week (e.g. medical certificate, ticket, etc.). It is in the participant's own interest to ensure that relevant information is recorded promptly.
- f. Individual course lecturers or other staff members of the Maastricht School of Management have no power to relax deadlines, vary or waive the requirements for individual participants. Only the Exam Committee has authority to do so. Participants are advised to consult the Exam Committee directly, and inform the lecturer.
- g. The Exam Committee, after consideration of the circumstances and after discussion with the Director of Research and Doctoral Programs, may indicate one of the following:
  - 1. That the written assignment may be submitted after the deadline.
  - 2. That an alternative written assignment be submitted after the deadline.
- h. Doctoral coursework shall be assessed simply on pass/fail/resubmit basis where the pass mark shall be at least a 60% score.
- i. A participant shall be given a maximum of three chances (within the period of twelve months after completion of the course) of resubmitting any of the doctoral coursework written assignments, before he or she is declared unable to proceed with the rest of the program.
- j. MSM will check each and every course assignment, MPhil manuscript, and DBA manuscript, as far as plagiarism is concerned, by making use of powerful detecting software. If a reviewer or any other person should discover an instance of plagiarism in any of the various documents, this will immediately be communicated to the Exam Committee and the Director of Research and Doctoral Programs in written form together with the pertinent evidence. Thereafter, provided the evidence is duly verified, you will immediately be expelled from the doctoral program. If the discovery of plagiarism is made after the awarding ceremony, the award will be struck from the School's records and all relevant persons will be duly informed.

#### 4.3 Notification of Results

- a. The Doctoral Programs Department will notify each participant of his or her results in writing within twenty working days after the submission deadline. The grade sheet will be updated each time a grade has been received. This information is treated personally and confidentially.



- b. The lecturer communicates comments about the content of the written assignments through the Doctoral Programs Department.
- c. A participant may appeal his or her grade if there is sufficient justification to do so. The participants should first discuss the script with the respective lecturer. If the participant has ground for further action, he or she may appeal the grade in writing to the Examination Committee with stating the reasons for the disagreement. The Examination Committee may reject or accept the appeal.

#### 4.4 Evaluation of Lecturers

- a. At the end of every subject module, the participant is asked to complete an evaluation sheet, which will be provided by the Doctoral Programs Department. It covers the subject matter, subject coverage, subject organization, lecture content, teaching methodology, overall presentation and book(s) used. There is also space for individual comments.
- b. This evaluation is confidential and anonymous. The Doctoral Programs Department processes all of the individual evaluation sheets. Summary statistics are submitted to the Director of Research and Doctoral Programs, the Director Dean, the Chairperson of the respective Academic Departments, the Curriculum Committee and to the lecturer after he or she has submitted the final grades.
- c. The evaluations are discussed in the Curriculum Committee and in the Board of Doctoral Degree Studies as part of the annual report of the Director of Research and Doctoral Programs. It is therefore important for the School to obtain reliable feedback. If comments are appropriate, they should be made in a professional and responsible manner.

#### 4.5 Absenteeism

- a. The assessment of an individual participant's performance in the doctoral degree program requires full class attendance and participation in all class activities throughout the coursework. Thus class attendance is compulsory and any absence from the class requires permission granted by the Director of Research and Doctoral Programs. A participant is not allowed to submit written assignments if the administration deems that the individual did not have an acceptable class attendance or participation in the program (at least 80% of the lectures). Unannounced and regular class absence will generally be considered negligent and irresponsible behavior and may be reported in final confidential reports about the participant's performance to the interested parties, including the sponsor or employer.
- b. Any form of absenteeism from class has to be reported to the Director of Research and Doctoral Programs in writing (letter or e-mail message) prior to the absence.

#### 4.6 Research proposal

- a. The participant has to deliver original work, which is the result of personal study and research. The subject has to be treated thoroughly and objectively. The text can consist of papers, which have already been published or have been sent in to journals for publication. If any of these contributions are written in cooperation with one or more co-authors, the Supervisor will check whether the contribution of the participant is sufficiently substantial.
- b. The research proposal shall include:
  - 1. A finalized, detailed outline of the proposed research, including a chapter plan indicating the methodology and types of sources to be used in each chapter;



2. A research outline. The research outline shall provide a detailed work plan and an academic framework for such data collection as will be required for the dissertation.
  - c. The research proposal shall be written under the guidance of the Supervisor.
  - d. The research proposal shall include:
    1. A front page;
    2. An abstract, which shall be an executive summary of a maximum of four pages;
    3. A table of contents;
    4. The necessary references and bibliography;
    5. Relevant exhibits and appendices.
  - e. On the reverse page of the front page only the following is mentioned:
    1. The Supervisor;
    2. The Reader
    3. Organizations, which have contributed financially to the realization of the research proposal.
  - f. The research proposal will be copied and bound.
- 4.7 Procedure to the research proposal Seminar
- a. The research proposal seminar takes place in public at the Maastricht campus or via videoconferencing connection between the counterpart organization and the Maastricht School of Management.
  - b. The participant can only continue with the defense of the research proposal after successful completion of the Doctoral Coursework.
  - c. Annually two weeks will be assigned in which the research proposal seminars can be scheduled (normally one week in June and one week in December).
  - d. The Director of Research and Doctoral Programs decides on the actual date and time of the research proposal seminar, two periods of one week per year.
  - e. On the first day of the month, four months prior to the month of the defense period (e.g. for defense in June, the deadline is February 1<sup>st</sup>, and for defense in December, the deadline is August 1<sup>st</sup>), the participant shall submit a digital copy of the final version of the research proposal to the Doctoral Programs department.
- 4.8 Research proposal Seminar Committee:
- a. The Director of Research and Doctoral Programs shall appoint a research proposal seminar committee for each participant, as soon as the participant has submitted the research proposal and the Supervisor has given formal approval. This committee will assess the performance of the participant.
  - b. The research proposal seminar committee shall consist of: the Director of Research and Doctoral Programs, the Supervisor and the Reader.
  - c. The Director of Research and Doctoral Programs will chair the seminar.
  - d. Together with the formal approval of the research proposal, the Supervisor has to inform the Director of Research and Doctoral Programs that a participant might be considered for an award of an MPhil with distinction. The Reader will be informed thereof and his/her comments will indicate whether he/she supports the distinction.
- 4.9 Research proposal Seminar
- a. The research proposal seminar shall include the presentation of:
    1. A finalized, detailed outline of the proposed research, including a chapter plan indicating the methodology and types of sources to be used in each chapter;



2. A research outline. The research outline shall provide a detailed work plan and an academic framework for such data collection as will be required for the dissertation.
  - b. The participant is allowed 15 minutes to introduce the research proposal, after which the participant answers questions from the committee and (if time permits) from other invited guests.
  - c. The Chairperson is responsible for arranging the sequence of questioning in such a way that the participant will have the opportunity to answer each question.
  - d. The seminar will have a duration of maximum one hour.
  - e. After the questions have been answered, the convocation is adjourned.
- 4.10 Assessment of the Research proposal
- a. The final assessment of the participant's research proposal shall take place after the research proposal seminar.
  - b. Any one member of the research proposal seminar committee can call a vote on the proposed decision. Each member has one vote. All decisions are arrived at on the basis of majority vote. A positive decision will only be reached in the case of a positive majority vote.
  - c. If the Supervisor comes from one of the counterpart organizations or the Reader cannot be present at the seminar, he or she will submit an extensive written advice to the Director of Research and Doctoral Programs, concluded with the indication of a positive or negative assessment result. This result derived from this report counts as one vote in the research proposal seminar committee.
  - d. Based on the quality of the research proposal and the research proposal seminar, the committee formulates its decision. An overall grade of at least 60% is required to receive a pass grade. The award of a degree with distinction - which is noted on the degree - requires a minimum mark of 90%. A grade below 60% results in "comments", in which case the participant is invited for the next possibility to present the research proposal (after six months).
  - e. After the final assessment the Chairperson of the research proposal seminar committee reopens the convocation and communicates the decision of the committee. The Chairperson of the dissertation defense committee gives a summary report of the committee's findings regarding the research proposal.
  - f. Within the first two years of the program, the participant has three possibilities to successfully defend the Research proposal (e.g. after one year from the beginning of the program, after one and a half years from the beginning of the program, after two years from the beginning of the program).
  - g. If the participant fails to defend the research proposal successfully within the first two years from the beginning of the program, the participant is discontinued from the program.
  - h. If a member of the research proposal seminar committee or any other person should discover before or after the research proposal presentation an instance of plagiarism in the research proposal, this will immediately be communicated to the Exam Committee and the Director of Research and Doctoral Programs in written form together with the pertinent evidence. Thereafter, provided the evidence is duly verified, you will immediately be expelled from the doctoral program. If the discovery of plagiarism is made after the awarding ceremony, the award will be struck from the School's records and all relevant persons will be duly informed.
- 4.11 Ceremony of awarding the MPhil degree
- a. A successful completion of the research proposal seminar stage qualifies the participant for the award of the Master of Philosophy (MPhil) degree.



- b. The Maastricht School of Management holds one graduation ceremony per year (normally in September).
  - c. If it has been decided that the MPhil degree is awarded, yet, the student is not allowed to continue his/her doctoral study, the MPhil degree is only awarded after the participant has satisfied the requirements listed in these Rules and Regulations and is not in possession of the School's property, such as Information Center books, journals, CD's, DVDs, etcetera.
  - d. The Maastricht School of Management provides gowns, caps and hats. After the ceremony they have to be returned to the School. They can be bought against an additional fee, since this is not included in the tuition fee.
  - e. Participants must submit the exact spelling of their name and their place and date of birth as indicated on the passport to the Doctoral Programs Department for legalization of the degree.
  - f. In order to graduate and receive the MPhil degree, the participant must obtain a clearance form from the Student Affairs office and obtain the necessary clearances from the various departments at the Maastricht School of Management, the bank (if applicable) and the Guesthouse (if applicable). Only if the form is completely filled out and the clearances have been obtained, a degree can be issued. The clearance form has to be handed in to the Doctoral Programs Department at latest four weeks prior to the defense ceremony.
- 4.12 Continuation of the Doctoral Program after obtaining the MPhil
- a. Within three weeks after the successful defense of the research proposal, the Doctoral Programs Department shall decide, whether the participant should be allowed to continue his or her studies with the DBA or with the PhD program<sup>2</sup>. This decision is taken based on the following indicators:
    - 1. The publication record of the participant
    - 2. The written advice from the research proposal seminar committee
    - 3. The time the participant has consumed to reach the MPhil stage.
  - b. Where the Doctoral Programs Department decides that the participant's performance is poor, it may recommend to the Chairperson of the Board of Doctoral Degree Studies that the participant will be discontinued from the program.
  - c. A participant whose performance in the program up to the research proposal seminar stage does not allow him or her to continue with the rest of the program may also qualify for the award of the MPhil degree provided he submits to the Doctoral Programs Department a satisfactory written MPhil Research proposal on a relevant topic approved by the Doctoral Programs Department. The MPhil Research proposal is subject to the Master Thesis Guidelines as drawn up by the Maastricht School of Management.
- 5 Field work Requirements:
- a. Participants will be allowed to carry out fieldwork for a period usually not exceeding one year.
  - b. During their fieldwork period, the participant remains obliged to communicate regularly with his or her Supervisor.
- 6 Data Analysis
- After a successful period of data collection, the participant continues to work on his or her dissertation. This phase of the program consists of intensive thinking and writing activities in consultation with the participant's supervisory team.

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<sup>2</sup> The PhD program is only conducted at the residential campus of a Dutch University.



## 7 Dissertation

- a. The participant has to deliver original work, which is the result of personal study and research. The subject has to be treated thoroughly and objectively. The text can consist of papers, which have already been published or have been sent in to journals for publication. If any of these contributions are written in cooperation with one or more co-authors, the Supervisor will check whether the contribution of the participant is sufficiently substantial.
- b. The research on which the dissertation is based, will meet the following requirements:
  1. The participant performs research independently;
  2. Research is conducted in accordance with the behavioral and professional principles, which are relevant to the particular field of science.
- c. The dissertation must be a coherent scientific dissertation on a specific subject, embodying an identifiable contribution to the existing knowledge in the relevant discipline or subject area of research.

In the assessment of the dissertation manuscript at least the following shall be considered:

1. The definition of the problem area and its importance.
  2. Originality of the manner in which the problem area is investigated.
  3. Academic level of the arrangement, the analysis and processing of the research material.
  4. Appropriateness of methodology of the analysis.
  5. Innovative nature of insights and concepts.
  6. Major contrasts of conclusions with existing theories and concepts.
  7. Creative approach towards the scientific area dealt with in the dissertation.
  8. Balance and clarity of style and presentation.
- d. The dissertation shall be written under the guidance of the Supervisor.
  - e. The dissertation shall include:
    1. A front page;
    2. An abstract, which shall be an executive summary of a maximum of four pages;
    3. A table of contents;
    4. The necessary references and bibliography;
    5. Relevant exhibits and appendices.
    6. A dissertation shall include a brief curriculum vitae of the participant, which mentions:
      - i. Date and place of birth;
      - ii. The period he or she attended secondary education;
      - iii. The period and type of education (university, etc.);
      - iv. Grades of qualification on certificates;
      - v. Information on professional experience after finalizing the education mentioned in clause iii) of this article;
    7. The name of the institution where the research has been carried out;
    8. A declaration that the same dissertation has not been submitted to any university for a degree or any award.
  - f. On the reverse page of the front page only the following is mentioned:
    1. The Supervisor;
    2. The Reader
    3. The external evaluators
    4. Organizations that have contributed financially to the realization of the dissertation.



- g. The dissertation will be printed in a booklet form consisting of a compilation of the journal articles. Guidelines for submission and printing of the dissertation can be found in the participant's handbook. It is obligatory to follow the MSM style author guidelines for doctoral dissertations. Please clearly communicate with the Corporate Communications department for the author guidelines, for obtaining the ISBN number, and all other related issues.
- h. The costs related to producing the booklet are to be carried by the doctoral candidate. MSM will support the candidate by means of providing clear formatting guidelines (via Corporate communications department), and will take care of obtaining the ISBN number for the booklet (via Infocenter).

#### 7.1 Procedure to the Public Defense

- a. The public defense takes place at the Maastricht campus.
- b. The Supervisor will give permission to the participant to start the procedure that leads to the public defense after the final version of the dissertation manuscript has been assessed and approved.
- c. The Director of Research and Doctoral Programs decides on the actual date and time of the research proposal seminar.
- d. In order to prepare the public defense, the participant shall submit a digital copy of the approved final version of the dissertation to the Doctoral Programs Department. At this time the participant may also submit a list of his or her invitees for the public defense.
- e. Within eight weeks of receiving the approved final version of the dissertation, the Reader will inform the Director of Research and Doctoral Programs in writing concerning the assessment of the approved final version of the dissertation and about critical comments.
- f. The Director of Research and Doctoral Programs decides on the continuation of the public defense procedure with sending the final version of the dissertation to the external evaluators, based on the Reader's report. If the Director of Research and Doctoral Programs decides not to support commencement of the procedure, the candidate is advised to improve the dissertation until an appropriate standard is reached, after which the public defense procedure starts all over again.
- g. Within eight weeks of receiving the final version of the dissertation, the external evaluators will inform the Director of Research and Doctoral Programs in writing concerning the assessment of the final version of the dissertation and about critical comments.
- h. The Director of Research and Doctoral Programs decides on the continuation of the public defense procedure with the public defense, based on the external evaluators' reports. If the Director of Research and Doctoral Programs decides not to support commencement of the procedure, the candidate is advised to improve the dissertation until an appropriate standard is reached, after which the public defense procedure starts all over again.
- i. After the participant has delivered 30 copies of the printed dissertation (the final booklet) to the Doctoral Programs Department, the public defense shall be announced.

#### 7.2 Dissertation Defense Committee

- a. The Director of Research and Doctoral Programs shall appoint a dissertation defense committee for each participant, as soon as the participant receives formal approval of the dissertation manuscript from his or her Supervisor and submits this final version of the dissertation. This committee will assess the performance of the participant in accordance with the criteria mentioned in 7c.
- b. The dissertation defense committee shall consist of: the Director Dean (chair), the Director of Research and Doctoral Programs, the Supervisor, the Reader, two



external evaluators and an representative from the Board of Doctoral Degree Studies. The Director of Research and Doctoral Programs will appoint the Reader and the external evaluators after having obtained advice from the Supervisor.

- c. Together with the formal approval of the dissertation, the Supervisor has to inform the Director of Research and Doctoral Programs that a participant might be considered for the DBA award with distinction. The examination committee members will be informed thereof and their comments will indicate whether they support the distinction.

### 7.3 Public Defense

- a. The Director Dean will chair the public defense. Also the other members of the dissertation defense committee have to be present at the public defense.
- b. The participant is allowed 15 minutes to introduce the research topic of the dissertation.
- c. All members of the dissertation defense committee, except the observer from the Board of Doctoral Degree Studies, are entitled to comment on the dissertation and pose questions to the participant.
- d. The Chairperson is responsible for arranging the sequence of questioning in such a way that the participant will have the opportunity to answer each question.
- e. The defense lasts not more than one hour.
- f. After the questions have been answered, the convocation is adjourned.

### 7.4 Assessment of the Dissertation

- a. The final assessment of the dissertation work shall take place after the public defense.
- b. Any one member of the dissertation defense committee can call a vote on the proposed decision, except the observer from the Board of Doctoral Degree Studies. Each member has one vote. All decisions are arrived at on the basis of majority vote. A doctorate will only be awarded in the case of a positive majority vote.
- c. Based on the quality of the dissertation and the public defense, the committee formulates its decision on granting the doctorate. An overall grade of at least 60% is required to receive a pass grade. The award of a degree with distinction - which is noted on the degree - requires a minimum overall mark of 90%. A grade below 60% results is a fail mark, in which case the participant is discontinued from the program.
- d. After the final assessment the Chairperson of the dissertation defense committee reopens the convocation and communicates the decision of the committee. The Chairperson of the dissertation defense committee gives a summary report of the committee's findings regarding the dissertation. This may immediately provide for the conferment of the doctoral degree or indicate the date when the conferral ceremony will take place. The Director of Research and Doctoral Programs or some other individual indicated by the dissertation defense committee will confer the degree to the successful participant by first reading the text of the degree award and by handing over the degree certificate.
- e. After handing over the certificate the Supervisor presents a short judgment with respect to the dissertation and might add some personal remarks (the "laudatio").
- f. A successful public defense is concluded with a reception in honor of the 'young' doctor, to which all present at the public defense are invited. The cost of this reception is included in the tuition fee, if held at MSM.



- g. If the participant fails to defend the research proposal successfully within six years from the beginning of the program, the participant is discontinued from the program.
- h. If a member of the dissertation defense committee or any other person should discover before or after the public defense an instance of plagiarism in the dissertation, this will immediately be communicated to the Board of Doctoral Degree Studies in written form together with the pertinent evidence. Thereafter, provided the evidence is duly verified, you will be immediately expelled from the program. If the discovery of plagiarism is made after the awarding ceremony, the award will be struck from the School's records and all relevant persons will be duly informed.

#### 7.5 Ceremony of Awarding the Doctoral Degree

- a. A successful completion of the public defense shall confirm the participant as a doctor and qualifies him or her for the award of the Doctor of Business Administration (DBA) degree. This implies that for a participant to qualify for this award of the DBA, he or she has to have met all other requirements of the program.
- b. The Maastricht School of Management holds one graduation ceremony per year (normally in September).
- c. The DBA degree is awarded to the participant who has satisfied the requirements listed in these Rules and Regulations and is not in possession of the School's property, such as Information Center books, journals, CD's, keys, etcetera.
- d. Participants must submit the exact spelling of their name and their place and date of birth as indicated on the passport to the Doctoral Programs Department for legalization of the degree.
- e. In order to graduate and receive the DBA degree, the participant must obtain a clearance form from the Student Affairs office and obtain the necessary clearances from the various departments at the Maastricht School of Management, the bank (if applicable) and the Guesthouse (if applicable). Only if the form is completely filled out and the clearances have been obtained, a degree can be issued. The clearance form has to be handed in to the Doctoral Programs Department at latest two working days prior to the defense ceremony.

### 8 General Regulations

#### 8.1 Changing Supervisors

- a. If the Supervisor and/or the participant consider that their co-operation is unsatisfactory, they have the right to ask the Doctoral Programs Department for a change of Supervisor. The Doctoral Programs Department shall examine this matter and shall advise the Director of Research and Doctoral Programs about their findings within two months of the receipt of the request, upon which the Director of Research and Doctoral Programs will decide within one month.
- b. If the employment of a Supervisor ceases during an ongoing supervision, he or she retains the right to continue the ongoing supervision provided that:
  - 1. The Supervisor expresses his or her willingness to continue supervision;
  - 2. In the case of termination, the employment was honorably terminated;
  - 3. The agreement to supervise was entered into before the date of termination of the employment;
  - 4. The exercise of effective supervision remains logistically possible;
  - 5. His or her approval of the final version of the dissertation, as indicated in 2.5.2e, respectively is given within a period of five years after the cessation of employment.



- c. The Director of Research and Doctoral Programs has the sole authority to determine whether the condition stated in the foregoing article 8.1b is met.
- d. In the case that any of the conditions in the foregoing Article 8.1b are not met, the right to supervision of the participant by the departing Supervisor shall be reconsidered, and the Doctoral Programs Department shall have the function to advise the Director of Research and Doctoral Programs about the assignment of another Supervisor to continue to supervise the participant's work.

## 8.2 Settlement of Disputes

- a. On request of one of the parties involved, the Examination Committee shall mediate:
  - 1. Any dispute between the Supervisor(s) or between a Supervisor and the participant, arising during preparation of a research proposal or a dissertation.
  - 2. Any dispute concerning approval of the dissertation arising between the Supervisor(s) or between the Supervisor and the participant.
  - 3. If the dissertation defense committee refuses to admit the defense of the dissertation.
  - 4. Any participant dissatisfied with the decision of the Director of Research and Doctoral Programs.
- b. The Examination Committee may reject or accept the appeal for settlement of the dispute and will duly inform the parties involved on their decision whether or not to accept the appeal for settlement.
- c. In case the appeal is found to be eligible for settlement, the Chairperson of the Examination Committee shall act as a mediator.
- d. If the Chairperson of the Examination Committee is a voting member of the dissertation defense committee, the Examination Committee shall appoint a full professor of the Maastricht School of Management, who will act as mediator.
- e. The mediator shall consider the arguments of all parties involved in a dispute, try to settle this by mutual agreement and then present an opinion in writing. This opinion will be discussed with all parties involved. The mediator will submit a report and the written summary of the discussion to all parties involved.
- f. If action taken as mentioned in article d) does not lead to agreement within one month, one or both parties may appeal to the Board of Doctoral Degree Studies in writing and request it to settle the dispute.
- g. Within one month after receipt of an appeal, the Board of Doctoral Degree Studies shall install a committee, which will advise on the appeal. This committee shall consist of one professor appointed by the first supervisor, one professor appointed by the participant. These two professors will appoint a third member as Chairperson. Any professors who are parties to the dispute shall not be eligible for membership of this committee.
- h. The committee mentioned in g) of this article will hear all parties involved and is authorized to consult experts. This committee will present a written report within two months.
- i. Within one month of receipt of the written report, the Board of Doctoral Degree Studies will settle the dispute. Members of the Board of Doctoral Degree Studies who are involved as supervisor will be excluded from this decision-making. The decision of the Board of Doctoral Degree Studies will be submitted immediately to all parties involved. If its decision differs from the advice of the committee, its decision, indicating the arguments on which the difference is based, will be presented to all parties involved as well as to the committee.
- j. Decisions taken by the Board of Doctoral Degree Studies are final and cannot be appealed.



### 8.3 Facilities and Services

- a. During registration the participant has a right to supervision and to the use of the facilities of the Maastricht School of Management.
- b. Each participant upon arrival in the Netherlands, on his or her specific request, can be allocated:
  1. A desk usually with a computer in one of the doctoral study rooms. Each participant may use the internet facilities, telephone, fax and mailing facilities of the Maastricht School of Management only when the use is connected with the doctoral program or research project. The use of one of these facilities may sometimes require the authorization of the Director of Research and Doctoral Programs.
  2. A mailbox.
- c. Each participant can make use of the Information Center with all its facilities.
- d. Each participant can make use of the IT infrastructure at the Maastricht School of Management, with an assigned email address.

### 8.4 Financial Conditions

All invoices must be paid within 30 days of issuance. The application fee and first invoice need to be paid one month before the start of the program. The Director of Research and Doctoral Programs must approve payment in installments. Interest will be added to the amount due. Any participant who is delinquent in payment will be discontinued from the program until the payment has been settled. However, the maximum allowed time for completion of the doctoral program (six years after the enrollment date) will not be expanded. Further, in such case a participant cannot be admitted to the MPhil defense, the fieldwork phase, the data analysis phase, the period of dissertation writing, or the public defense of the dissertation.

## 9 Validity

- a. These Rules and Regulations supersede any preceding Rules and Regulations or arrangements between parties with regards to doctoral program at the Maastricht School of Management.
- b. These Rules and Regulations apply to all participants to the doctoral degree program at the Maastricht School of Management, not only those enrolled in the doctoral degree program after November 1, 2006.
- c. These Rules and Regulations are published on the website of the Maastricht School of Management ([www.msm.nl](http://www.msm.nl)) and thus publicly accessible. All participants will be provided with these Rules and Regulations on the first day of the program.
- d. Cases of failure to comply with the above Rules and Regulation, and on all questions of interpretation of these Rules and Regulation, the decision of the Board of Doctoral Degree Studies shall be final.
- e. Any matters concerning the doctoral degree program, study assessment, or admission of participants, that are not regulated in these Rules and Regulations, shall be provided for by the Board of Doctoral Degree Studies and where relevant in consultation with the Chairperson(s) of the relevant decision-making bodies of the counterpart organizations.
- f. These Rules and Regulations have been acknowledged and approved of by the Board of Doctoral Degree Studies.